

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b) or 1.97(c))				Docket No. 3.0-002	
In Re Application Of: Smith et al					
Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/730,752	12/08/2003			1616	
Title: <b>MIXED ESTERS OF DICARBOXYLIC ACIDS FOR USE AS PIGMENT DISPERSANTS</b>					
Address to: <b>Commissioner for Patents</b> <b>P.O. Box 1450</b> <b>Alexandria, VA 22313-1450</b>					
<b>37 CFR 1.97(b)</b>					
1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.					
<b>37 CFR 1.97(c)</b>					
2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:					
<div style="margin-left: 40px;"><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</div>					
<b>OR</b>					
<div style="margin-left: 40px;"><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</div>					

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
3.0-002

In Re Application: Smith et al

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/730,752	12/08/2003			1616	

**MIXED ESTERS OF DICARBOXYLIC ACIDS FOR USE AS PIGMENT DISPERSANTS**

**Payment of Fee**

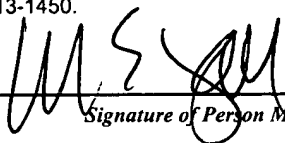
(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Director is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

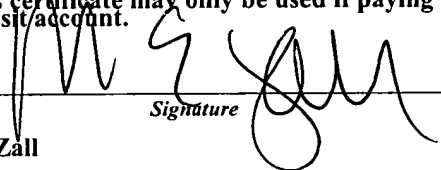
I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)
_____ (Date)
_____ Signature
_____ Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

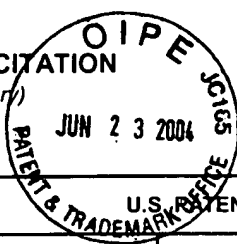
I certify that this document and fee is being deposited on <b>June 21, 2004</b> with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
 Signature of Person Mailing Correspondence
Michael E. Zall
_____ Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

Dated: June 21, 2004

  
\_\_\_\_\_  
Signature  
Michael E. Zall  
Attorney for Applicant  
Reg. No. 27,023  
Two Yorkshire Drive  
Suffern, NY 10901  
(845) 357-6800

CC:

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO. <b>3.0-002</b>		APPLICATION NO. <b>10/730,752</b>	
				APPLICANT(S) <b>Smith et al</b>			
				FILING DATE <b>12/08/2003</b>		GROUP ART UNIT <b>1616</b>	
 <b>U.S. PATENT DOCUMENTS</b>							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5116604	1992	Fogel			
		5716602	1998	Uick			
		5476643	1995	Fogel			
		5928631	1999	Lucas			
		4830768	1989	Reich et al			
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		2002/0192249	Dec. 19, 2002	Smith et al			
		2002/0160029	Oct. 31, 2002	Asmus et al			
		2003/0114520	June 19, 2003	Pereira et al			
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES      NO
		WO 03/024416	03/27/2003	PCT			
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO. <b>3.0-002</b>		APPLICATION NO. <b>10/730,752</b>	
				Smith et al			
				FILING <b>12/08/2003</b>		GROUP ART <b>1616</b>	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5693316	1997	Pereira et al			
		5302377	1994	Periera			
		5455025	1995	Pereira et al			
		5597555	1997	Pereira et al			
		6476254	2002	Pereira et al			10/01/1999

U.S. PATENT APPLICATION PUBLICATIONS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>			

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
-----------------	------------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO. <b>3.0-002</b>		APPLICATION NO. <b>10/730,752</b>	
				Smith et al			
				FILING <b>12/08/2003</b>		GROUP ART <b>1616</b>	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		4725432	1988	May			
		6511952		Schwartz			Jan 12, 2000

U.S. PATENT APPLICATION PUBLICATIONS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>			

EXAMINER	DATE CONSIDERED
----------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.